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COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON, D.C. 20548



B-171019

MAY 10 1973

The Honorable William L. Clay
House of Representatives

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Dear Mr. Clay:

In response to your requests of October 12 and December 15, 1972, as modified, after discussions with your office, we inquired into the use of Law Enforcement Assistance Administration (LEAA) funds by the St. Louis Metropolitan Police Department (SLMPD), St. Louis, Missouri, and into certain aspects of the Missouri Uniform Law Enforcement System (MULES). Our work was done at the Missouri Law Enforcement Assistance Council, Jefferson City; region V of the Missouri Law Enforcement Assistance Council, St. Louis; the Board of Police Commissioners, St. Louis Metropolitan Police Department, St. Louis; and the Kansas City Police Department, Kansas City, Missouri.

USE OF LEAA FUNDS BY THE ST. LOUIS
METROPOLITAN POLICE DEPARTMENT

You requested us to determine whether SLMPD had used LEAA funds to pay employees' salaries or to purchase riot control equipment, such as armored cars, and whether SLMPD had used LEAA funds for the purposes for which they were granted.

SLMPD received LEAA funds through grants from the Missouri Law Enforcement Assistance Council,¹ Jefferson City, Missouri, and from LEAA's National Institute of Law Enforcement and Criminal Justice, Washington, D.C. SLMPD also benefited from LEAA grants allocated to region V of the Missouri Law Enforcement Assistance Council, St. Louis.

From October 1968 through December 1972, SLMPD was awarded 20 grants totaling \$942,601. SLMPD received \$877,609

¹The agency which receives LEAA funds awarded to Missouri and which subgrants these funds for use by criminal justice agencies in the State. It administers the LEAA program for Missouri.

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of that amount and spent \$525,883. (See enc. I for a list of grants and their status and enc. II for a summary of expenditures.)

For each grant, we reviewed the application, the approval notice, and the budget and budget revisions and tested the propriety of expenditures by reviewing requisitions, purchase orders, payroll records, and payment vouchers supporting selected payments for equipment, salaries, and other costs.

SLMPD used LEAA funds to pay its employees at authorized rates for work performed directly in connection with a grant. For example, under grant SMP-AC2-72-d-1 titled "Foot Patrol," officers are selected to provide a foot patrol pool in areas with the highest incidence of street crimes and suppressible burglaries. The officers patrol these areas on their recreation or vacation days and are paid overtime at their base hourly rates. Payments to officers for foot patrol duty from June through December, 1972 totaled \$126,878.

No LEAA funds from the 20 grants were used to purchase armored cars. Only one grant (ML-03 titled "Riot Control") appeared related to riot control. The \$27,302 received under this grant was spent for communications equipment--miniature radios, electronic sirens, etc.--\$14,829; officer protection equipment--gas masks, protective vests, chin mask pouches, and fire extinguishers--\$8,098; other items--irritant fog formulation, pepper fog, inert smoke, etc.--\$2,572; lecturers for a police officer training program, \$1,470; and clerical help, office supplies, etc., \$333.

SLMPD used grant funds for the purposes for which they were granted. For example, one grant amounting to \$59,500 (70-DF-449 titled "Expansion of Laboratory Services") was to enable SLMPD to provide mobile laboratory technical services 24 hours a day. A comparison of the estimated expenditures listed in the approved project application with actual expenditures follows.

	<u>Estimated</u>	<u>Actual</u>
One full-time police chemist	\$10,000	\$ 9,951
Four full-time clerks	20,000	19,980
Social security, pension system, health and welfare benefits--15 percent of salaries	4,500	2,914
Four heavy-duty-equipped mobile vans (1970)	12,000	14,061
Accessories for each van (tools, shelving, floodlights, ladders, etc.)	4,000	3,600
Cameras, fingerprint equipment, etc., for each van	4,000	1,707
Flash bulbs, film powders, containers, chemicals, etc., for each van	2,000	4,714
Indirect costs--10 percent of salaries	<u>3,000</u>	<u>-</u>
	59,500	56,927
Refund	<u>-</u>	<u>2,573</u>
Total	<u>\$59,500</u>	<u>\$59,500</u>

SLMPD is indirectly benefiting in varying degrees from 11 grants, totaling \$2,055,908, to region V of the Missouri Law Enforcement Assistance Council. Region V consists of the city of St. Louis and the counties of St. Louis, Jefferson, Franklin, and St. Charles, Missouri. As of December 31, 1972, region V had spent \$1,554,878 for a regional police training academy, a police information system, a crime laboratory, and audiovisual equipment that benefited law enforcement agencies in the region. Because of the regional aspect of these grants, we were unable to determine the value of the benefits to SLMPD. For example, the Missouri Law Enforcement Assistance Council awarded grants totaling \$464,883 to region V for the Greater St. Louis Police Academy. Region V had spent \$195,768 of that amount through December 1972. The academy is open to all law enforcement officers in region V.

MISSOURI UNIFORM LAW ENFORCEMENT SYSTEM

We examined into MULES to ascertain:

- Its purpose.
- The type of data it maintained.
- Who used the data.
- The security measures used to control access to the data it stored.

MULES, which was established by the Criminal Justice Systems Committee of the Missouri Law Enforcement Assistance Council in 1969, to reduce and/or prevent crime, is in various stages of development and implementation. When fully developed and implemented, MULES will be a computerized State-wide information storage, retrieval, and communication system for all criminal justice functions in Missouri and will operate at both the State and local levels. A report titled "Five Year Plan for Missouri Uniform Law Enforcement System," published in July 1972, estimated that it would cost \$41,870,000 over the next 5 years to develop and fully implement MULES.

As of December 1972 MULES consisted of a central system and two regional systems. The Kansas City and St. Louis Police Departments each operate a regional system that ties into the central system through a communications and information flow network. The central system, operated by the Missouri State Highway Patrol in Jefferson City, provides the National Criminal Information Center (NCIC) of the Federal Bureau of Investigation with certain data pertaining to stolen vehicles, stolen articles, and wanted persons. It is designed to serve as (1) the central repository of computerized criminal histories and State-level records, (2) a message-switching control center enabling criminal justice agencies to communicate with each other, and (3) a provider of data to State and local criminal justice agencies requesting information.

As of December 1972 MULES was connected with 72 police departments, 17 sheriff offices, all Missouri State Highway Patrol troop headquarters, 2 local Federal Bureau of Investigation offices, 8 judicial offices, and NCIC. The central system is providing, or will provide, criminal information abstracts to authorized law enforcement personnel throughout the State. Following are descriptions of various existing and planned subsystems of the central system.

1. Wanted vehicles--Information concerning stolen, wanted, towed, and repossessed vehicles; stolen and lost licenses; and stolen vehicle parts. This subsystem is fully operational and is connected with the NCIC wanted vehicles system.
2. Wanted persons--Information on warrants for wanted persons. This subsystem, which was partially operational in 1972, is now accepting data from the Kansas City and St. Louis regions. It is soon to be connected with the NCIC wanted-persons system.
3. Criminal history--Abstracts of criminal histories (arrest-identification, judicial, corrections, and

probation-parole data). This subsystem is expected to be partially operational in 1973.

4. Serialized stolen property--Information on certain serialized property awaiting claim by owners. This subsystem is not fully operational on a State-wide basis. It is connected with NCIC.
5. Nonserialized stolen property--Information on certain valuable nonserialized property, such as cattle, farm chemicals, and jewelry. This subsystem is not fully operational on a State-wide basis. It is connected with NCIC.
6. State-wide weather file--Information on the conditions, including predicted weather conditions, of all highways in the State. This subsystem is fully operational on a State-wide basis.
7. Attorney General information system--Court calendars, case histories, name indexes, and identification number indexes. Staff members in the Attorney General's office will have online access. This subsystem is expected to be operational in 1973.

A retention period for information in a subsystem is established when the subsystem is implemented. For example, information on a stolen vehicle is retained in the subsystem for the year of entry plus 4 years and information on a wanted person is retained in the subsystem until canceled by the criminal justice agency which entered the information.

The Missouri State Highway Patrol has security agreements with local criminal justice agencies connected to the central system that cover access to and use of information. Validated agency and transaction codes have been assigned to each criminal justice agency terminal which has access to information in the system. All inquiries and data input transactions must have originating agency codes and transaction codes that are verified internally by the system before the transactions are accepted for processing. Also the MULES central computer is programed to keep a log of all criminal history inquiries. The security agreements require that each criminal justice agency terminal keep a log identifying persons who make inquiries into criminal history files and that access to computer equipment and files be restricted to authorized persons.

The Kansas City and St. Louis metropolitan areas have independent regional information systems connected with the MULES central system. Each system was designed to meet the data needs of the respective areas. Information on traffic accidents, police personnel, towed vehicles, traffic violations, and persons arrested for offenses not serious enough for inclusion in the State or national files is maintained at the local level. The regional systems send the central system information of State-wide interest, such as that on stolen vehicles and wanted persons.

The Kansas City and St. Louis regional systems do not have direct access to each other's computer. The MULES central system serves as a message-switching agent between these regional systems.

The Kansas City, Missouri, Police Department (KCMPPD) operates and manages the Greater Metropolitan Kansas City Criminal Justice Information System. This system serves region I of the Missouri Law Enforcement Assistance Council which comprises Jackson, Cass, Clay, Platte, and Ray Counties. As of February 20, 1973, criminal justice agencies in region I were using 155 terminals to receive data from the regional system.

The system is operational for information relating primarily to wanted persons, outstanding warrants, arrests and dispositions, criminal histories, traffic violations, and stolen vehicles. The information is retained in the system for varying periods. For example, information on a traffic violation is retained for 60 days and information on a city warrant is retained for 2 years. Arrest information is retained indefinitely; however, purge criteria are being developed.

KCMPPD has security agreements with the criminal justice agencies connected to the system covering access to information in the system. Each agency terminal is assigned an identification code that it must use when requesting information. The computer verifies codes before processing inquiries and keeps a log showing the identification code of the agency terminal from which an inquiry was made, the data requested, and the data furnished. Also the Board of Police Commissioners of KCMPPD has established a policy prohibiting the release, except to a criminal justice agency, of information on arrests not resulting in convictions.

SLMPD operates and manages the Regional Justice Information System which serves region V of the Missouri Law Enforcement Assistance Council. As of February 16, 1973, criminal justice agencies in region V were using 159 terminals to receive data from the system.

The regional system provides St. Louis City and St. Louis County police with information on stolen vehicles; arrest records; field interview reports (for example, the report on an interview with a person stopped because of what appeared to be suspicious actions); bench warrants; owner and driver histories; NCIC nationwide indexes of stolen vehicles, articles, securities, and guns; NCIC nationwide indexes of wanted persons; and NCIC criminal histories. It serves the rest of the region only as a data bank for information on stolen vehicles. When fully developed and implemented, the system will also provide the other items of information for all of region V.

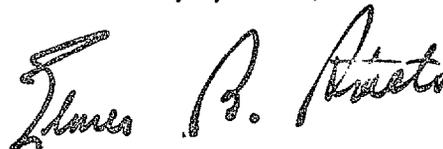
SLMPD representatives told us that field interview data was eliminated from the system after 1 year but that other data entering the system remained "on line" for 5 years before being transferred to storage files. They also said that specific retention policies for various types of information would be developed as the system was further developed.

SLMPD has security agreements with the criminal justice agencies connected to the regional system covering access to information in the system. Each agency terminal is assigned an identification code that it must use when requesting information. The computer verifies codes before processing inquiries and keeps a log showing the identification code of the agency terminal from which an inquiry was made, the data requested, and the data furnished. Also regulations published by the Board of Police Commissioners, SLMPD, limit access to arrest records. Arrest record information not indicating a conviction or a warrant issued will not be released unless five or more arrests have occurred in the most recent 10 years, in which case the entire record will be released. An employer requiring a security check on a prospective employee will be given all available arrest information, provided that he has written permission from the prospective employee.

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We do not plan to distribute this report further unless you agree or publicly announce its contents.

Sincerely yours,



Comptroller General
of the United States

Enclosures - 2

BEST DOCUMENT AVAILABLE

SUMMARY OF LEAA GRANT FUNDS
AWARDED TO THE ST. LOUIS METROPOLITAN POLICE DEPARTMENT

Number	Title	Amount of grant	Amount received	Amount to be received	Amount spent	Amount refunded	Amount on hand
MISSOURI LAW ENFORCEMENT ASSISTANCE COUNCIL--GRANTS COMPLETED:							
ML-03	Riot Control	\$ 27,302	\$ 27,302	\$ -	\$ 27,302	\$ -	\$ -
70-DF-312	Team Counseling Hard Core Delinquents	61,358	61,358	-	58,861	2,496	-
70-DF-449	Expansion of Laboratory Services	59,500	59,500	-	56,927	2,573	-
V-AC-12-71-d2	Intelligence Equipment	14,768	14,768	-	13,406	1,362	-
V-AC-13-71-d2	X-Ray Equipment for Bomb Searches	7,231	7,231	-	7,224	7	-
Total		<u>\$170,159</u>	<u>\$170,159</u>	<u>\$ -</u>	<u>\$163,720</u>	<u>\$6,438</u>	<u>\$ -</u>
MISSOURI LAW ENFORCEMENT ASSISTANCE COUNCIL--GRANTS NOT COMPLETED:							
71-DF-825	Educational Achievement Incentive Plan	\$ 40,119	\$ 40,119	\$ -	\$ 37,361	\$ -	\$ 2,758
V-AC-10-71-a1	Narcotics Training and Identification for Police Officers	20,000	20,000	-	18,256	-	1,744
V-AC-59-71-11	Police Youth Corps	29,600	29,600	-	28,144	-	1,456
PL-1-72	Advanced Research Unit	7,636	7,636	-	7,144	-	492
SMP-AC3-72-d1	Burglary Prevention Unit	50,000	50,000	-	16,542	-	33,458
SMP-AC2-72-d1	Foot Patrol	300,000	300,000	-	156,062	-	143,938
SMP-11-1-72-b1	Multi-Media Crime Prevention	15,000	11,780	3,220	1,018	-	10,762
SMP-1-72-b1(c)	Operation Ident	33,000	33,000	-	15,647	-	17,353
SMP27-72-b1	Citizens Reserve	40,000	33,706	6,294	4,174	-	29,532
SMP-72-D1(c)	Expand Evidence Technician Unit	40,000	40,000	-	8,556	-	31,444
SMP-16-72-i	Police Youth Corps	50,000	16,200	33,800	3,979	-	12,221
SMP-31-72-d1	Expanded Mounted Patrol	65,000	43,322	21,678	4	-	43,318
V-AC71-71-C3	Team Counseling of Hard Core Delinquents	30,302	30,302	-	21,415	-	8,887
Total		<u>\$720,657</u>	<u>\$655,665</u>	<u>\$64,992</u>	<u>\$318,302</u>	<u>\$ -</u>	<u>\$337,361</u>
NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE--GRANTS COMPLETED:							
NI-71-036-G	Incident Seriousness and Scheduling	\$ 24,227	\$ 24,227	\$ -	\$ 22,178	\$2,049	\$ -
NATIONAL INSTITUTE OF LAW ENFORCEMENT AND CRIMINAL JUSTICE--GRANTS NOT COMPLETED:							
NI-72-018-G	Computerized Scheduling of Police Manpower	27,558	27,558	-	21,682	-	5,876
Total		<u>\$ 51,785</u>	<u>\$ 51,785</u>	<u>\$ -</u>	<u>\$ 43,860</u>	<u>\$2,049</u>	<u>\$ 5,876</u>
RECAPITULATION OF GRANTS AWARDED TO THE METROPOLITAN ST. LOUIS POLICE DEPARTMENT:							
	Grants completed	\$194,386	\$194,386	\$ -	\$185,898	\$8,488	\$ -
	Grants not completed	748,215	683,223	64,992	339,985	-	343,231
Total		<u>\$942,601</u>	<u>\$877,609</u>	<u>\$64,992</u>	<u>\$525,883</u>	<u>\$8,488</u>	<u>\$343,231</u>

BEST DOCUMENT AVAILABLE

SUMMARY OF EXPENDITURES FROM
LEAA GRANT FUNDS AWARDED TO
THE ST. LOUIS METROPOLITAN POLICE DEPARTMENT

<u>Category</u>	<u>Amount</u>	
EQUIPMENT:		
Vehicles:		
Passenger	\$ 16,161	
Vans	<u>14,061</u>	\$ 30,222
Ammunition (target practice for "citizens reserve")		3,771
Protective		10,671
Communication		53,267
Office		1,007
Photo		14,296
X-ray		5,418
Miscellaneous		<u>2,520</u> \$121,172
SALARIES AND FEES:		
Police department personnel:		
Officers	155,038	
Civilian	<u>11,049</u>	166,087
Technical		35,500
Consultants		18,313
Counselors:		
Civilian	10,339	
St. Louis Police	32,301	
St. Louis Juvenile Courts	8,698	
St. Louis Recreation Department	<u>10,123</u>	61,461
Incentive payments (education incentive for police officers)		37,361
Clerical		32,434
Juvenile		1,197
Employee benefits		<u>2,419</u> 354,772
SUPPLIES:		
Photo		5,348
Uniform (uniforms for "Police Youth Corps")		6,338
Identification (hand engravers--"Project Ident")		13,042
Miscellaneous		<u>138</u> 24,866
OTHER COSTS:		
Travel and transportation		9,315
Office		141
Insurance		4,823
Cultural, education, and recreational (participants of Hard Core Delinquents and Police Youth Corps)		5,235
Refreshments (participants of Hard Core Delinquents and Police Youth Corps)		3,730
Workshop expense		1,393
Miscellaneous		<u>436</u> 25,073
Total		<u>\$525,883</u>